



EXHIBIT MAR UNCL EL 920 747 053 US

PTO/SB/96 (08-03)*

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Bloomberg, LP
Application No./Patent No.: 09/584,045 Filed/Issue Date: 30 May 2000
Entitled: Electronic Trading System for Electricity Forwards
Bloomberg, LP, a Delaware corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 011262, Frame 0646, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1 May 2002

Date

Matthew J. Marquardt, Esq., Reg. No. 40,997

Typed or printed name

[Signature]
Signature
Attorney for Applicant

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Technology Center 2100



PATENT
Application of HAUSMAN
Serial No. 09/584,045
Atty Docket No. 3524/14
Express Mail Label No. EL 920 797 053 US

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In re Application of: HAUSMAN, Andrew

Serial No.: 09/584,045

Filed: 30 May 2000

Title: ELECTRONIC TRADING SYSTEM FOR ELECTRICITY FORWARDS

Commissioner for Patents
Washington, D.C. 20231

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**DECLARATION OF JESSICA LEERENTVELD
IN SUPPORT OF PETITION TO MAKE SPECIAL**

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Jessica Learentveld, being duly warned that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent resulting therefrom, declares that:

1. I am an employee of Bloomberg, LP, which is owner by assignment of the application herein.
2. I am authorized to make this statement on behalf of assignee Bloomberg, LP.
3. As part of my duties as an employee of Bloomberg, LP, I support and am familiar with the BLOOMBERG POWERMATCH® electronic trading system. I am familiar with the disclosure of the above-identified patent application, which describes among other things aspects of the BLOOMBERG POWERMATCH® electronic trading system.

DECLARATION OF JESSICA LEERENTVELD

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PATENT
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4. In the course of my employment I have become familiar with a number of trading systems which compete with the BLOOMBERG POWERMATCH® trading system. One such system is the Intercontinental Exchange trading system, which is described in general terms at www.intcx.com. A copy of information found on the Internet at that URL is attached hereto as Exhibit A. In the course of my employment I also speak regularly with a number of traders and others familiar with electronic trading, both within Bloomberg, LP, and outside. I frequently discuss with these persons various trading systems which compete with the BLOOMBERG POWERMATCH® trading system, including the Intercontinental Exchange trading system. The Intercontinental Exchange trading system is a private system accessible only to authorized persons, generally subscribers. Several of the persons with whom I have discussed the Intercontinental Exchange trading system have authorized access to the system, and are familiar with its workings.

5. Based on knowledge I have gained from my conversations with traders who use the Intercontinental Exchange trading system and a review of the Intercontinental Exchange website, I have made a rigid comparison of the Intercontinental Exchange system with the claims of the application herein.

6. In my opinion based on that rigid comparison, at least claims 13 – 15, 19 – 23, 33 – 35, and 38 - 50 of the application herein are unquestionably infringed.

7. The Intercontinental Exchange trading system was introduced to the trading public well after introduction of the BLOOMBERG POWERMATCH® trading system. It is commonly believed, among those familiar with trading systems which compete with the

DECLARATION OF JESSICA LEERENTVELD

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BLOOMBERG POWERMATCH® trading system, that the Intercontinental Exchange trading system was intended as a close imitation of the BLOOMBERG POWERMATCH® trading system.

8. The facts set forth in this Declaration are true, and all statements made of my own knowledge are true, and all statements made on information and belief are believed to be true.

Date: 4-30-00

Jessica Learentveld
Jessica Learentveld

DECLARATION OF JESSICA LEARENTVELD

3

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**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
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Washington, D.C. 20231

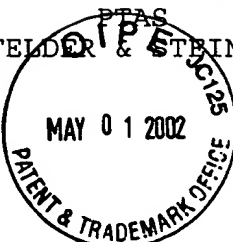
3524-14



101528025A

JANUARY 26, 2001

BROWN RAYSMAN MILLSTEIN FELDER & STEINER
FRANK J. DEROSA
120 WEST 45TH STREET
NEW YORK, NEW YORK 10036



**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/07/2000

REEL/FRAME: 011262/0646
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HAUSMAN, ANDREW

DOC DATE: 10/05/2000

ASSIGNEE:

BLOOMBERG LP
499 PARK AVENUE
NEW YORK, NEW YORK 10022

SERIAL NUMBER: 60152017
PATENT NUMBER:

FILING DATE: 09/01/1999
ISSUE DATE:

SERIAL NUMBER: 09584045
PATENT NUMBER:

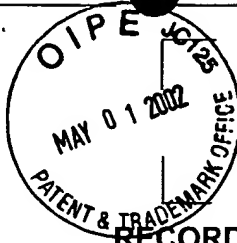
FILING DATE: 05/30/2000
ISSUE DATE:

SHARON LATIMER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

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RECORDATION FORM COVER SHEET
PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

☒ New
☐ Resubmission (Non-Recordation)
Document ID#
☐ Correction of PTO Error
Reel # Frame #
☐ Corrective Document
Reel # Frame #

Conveyance Type

☒ Assignment ☐ Security Agreement
☐ License ☐ Change of Name
☐ Merger ☐ Other
U.S. Government
(For Use ONLY by U.S. Government Agencies)
☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached
Execution Date
Month Day Year
10/05/2000

Name (line 1) Andrew Hausman

Name (line 2)

Second Party

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

09584045

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) Bloomberg LP

Name (line 2)

Address (line 1) 499 Park Avenue

Address (line 2)

Address (line 3) New York

New York

10022

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

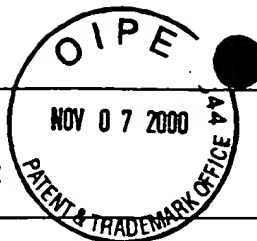
Address (line 4)

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Correspondent Name and Address

Area Code and Telephone Number

(212) 944-1515

Name Frank J. DeRosa

Address (line 1) Brown Raysman Millstein Felder & Steiner LLP

Address (line 2) 120 West 45th Street

Address (line 3) New York, New York 10036

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

2

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

60/152,017

09/584,045

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number

only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

2

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$

80

Method of Payment:

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Enclosed ☒

Deposit Account ☐

Deposit Account Number:

02-4270

Authorization to charge additional fees:

Yes ☒

No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Frank J. DeRosa

Name of Person Signing

Frank J. DeRosa

Signature

11-2-00

Date

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Atty. Docket: 3524/14

ASSIGNMENT

WHEREAS, I, Andrew Hausman, residing at Summit, New Jersey, a citizen of the United States of America, hereinafter together with my heirs, executors, administrators and legal representatives referred to herein as "Assignor", have invented one or more inventions (hereinafter referred to as "said invention(s)") disclosed in the following applications for patent of the United States; Serial No.: 60/152,017 filed September 1, 1999 and 09/584,045, filed May 20, 2000 both titled ELECTRONIC TRADING SYSTEM FOR ELECTRICITY FORWARDS (hereinafter referred to as "said applications").

WHEREAS, Bloomberg LP (hereinafter together with its successors and assigns referred to as "Assignee"), a limited partnership organized and existing under the laws of Delaware, having a place of business at 499 Park Avenue, New York, NY 10022, is desirous of obtaining all right, title and interest in, to and under said invention(s) and said applications.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which Assignor hereby acknowledges, Assignor has sold, assigned, transferred and set over, and by these presents hereby sells, assigns, transfers and sets over to Assignee all right, title and interest in, to and under said invention(s) and said applications, including (a) the right to apply for patents in the United States of America and in all foreign countries for said invention(s), (b) all applications for patents for said invention(s) or based on said applications in all countries, now filed or to be filed, including all divisional, renewal, substitute, continuation, continuation-in-part and convention applications based in whole or in part upon said invention(s) or upon said applications, (c) all patents which may issue on said invention(s) and on any applications transferred by this Assignment in the United States and foreign countries, and any and all reissues, extensions, renewals, divisions, continuations or continuations-in-part of patents granted for said invention(s) or upon such applications, to the full term or terms for which the patents may be issued, and (d) every priority right that is or may be predicated upon or arise from said invention(s), said applications and such patents. Assignor hereby authorizes Assignee to file patent applications in all countries for any or all of said invention(s) in Assignor's name, or in Assignee's name, or otherwise as Assignee may deem advisable, under any international or bilateral treaty or convention, or otherwise.

Assignor hereby covenant and agrees that Assignor will, upon request of Assignee, and without further consideration but at the expense of the Assignee, communicate any facts known to Assignor relating to said invention(s) and the history thereof, testify in any legal proceeding, execute all lawful papers required to effect the foregoing, and generally do all further acts which may be deemed necessary by Assignee to obtain and enforce proper patent protection for said invention(s) in all countries.

If any part of this Assignment and Agreement shall be held by a court of competent jurisdiction to be void, invalid or inoperative, the remaining provisions of this Assignment and Agreement shall not be affected and shall continue in effect, and the invalid provision shall be deemed modified to the least degree necessary to remedy such invalidity.

Atty. Docket: 3524/14

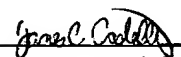
IN TESTIMONY WHEREOF, Assignor has executed this document on the date indicated below.

Date: OCTOBER 5, 2000


(Signature) Andrew Hausman

STATE OF New York)
) ss.:
COUNTY OF New York)

On the 5 day of OCTOBER in the year 2000 before me, the undersigned, personally appeared Andrew Hausman, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.


Signature and Office of individual
taking acknowledgment

JAMES C. COSTELLO
Notary Public, State of New York
Registration No. 02CO6023542
Qualified in New York County
Commission Expires 4/26/2001